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Section 1/11

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of:

DUKE et al.

Serial No.: 09/991,363

Filed: November 15, 2001

Atty. File No.: 3923-3

For: "YEAST-DENDRITIC CELL
VACCINES AND USES THEREOF"

BOX MISSING PARTS
Commissioner of Patents
Washington, D.C. 20231

SUBMISSION OF MISSING PARTS

<p>CERTIFICATE OF MAILING</p> <p>I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231 ON <u>2/7/02</u></p> <p>SHERIDAN ROSS P.C.</p> <p>BY: <i>[Signature]</i></p>

Dear Sir:

In response to the Notice to File Missing Parts dated December 21, 2001, enclosed are a Declaration and two Powers of Attorney. Please note that the Assignment documents have been submitted to the Assignment Branch under separate cover on this same date.

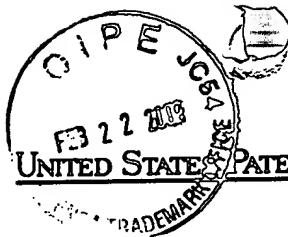
Also enclosed is a check for \$549 which includes payment of the small entity filing fee and the surcharge. Please credit any overpayment or debit any underpayment to Deposit Account No. 19-1970. A copy of the Notice to File Missing Parts is also enclosed.

Respectfully submitted,

SHERIDAN ROSS P.C.

By: *Angela Dallas*
Angela K. Dallas
Registration No. 42,460
1560 Broadway, Suite 1200
Denver, CO 80202-5141
(303) 863-9700

Date: February 7, 2002



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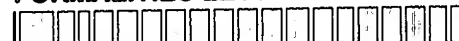
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/991,363	11/15/2001	Richard C. Duke	3923-3

CONFIRMATION NO. 2524

FORMALITIES LETTER



OC00000007224470

22442
SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
DENVER, CO 80202

#4

Date Mailed: 12/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- o Total additional claim fee(s) for this application is \$228.
 - \$144 for 8 total claims over 20.
 - \$84 for 1 independent claims over 3.
- o The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 1098.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

02/28/2002 NH000000 09991363
01 FC:201 370.00
02 FC:203 72.00
03 FC:202 42.00
04 FC:205 65.00